

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Ewell, Austin B

DAS Water & Science, DOI

Date of Appointment: 09/18/2017

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Austin Ewell [electronically signed by Austin Ewell on 2017-12-04 12:04:52 in FDonline]

Filed with Extension. Extended for 41 days

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below)

/s/ Tia Barner, Ethics Counselor [electronically signed by Tia Barner on 2017-12-07 09:42:33 in FDonline]

Other review conducted by:

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	ORG TYPE	POSITION	FROM	TO
1	The Clarksfield Company Inc.	Fresno, CA, US	Development Company	President	05/15/2001	09/16/2017
2	Point Millerton Ranch, LLC	Fresno, CA, US	Development, Land Management	President	06/01/2007	09/16/2017
3	Ewell Consulting Group LLC	Fresno, CA, US	Consulting Firm	Member	10/03/2013	09/16/2017
4	SANBAD Investments, LLC	Fresno, CA, US	Real Estate Holdings	Member	10/15/2015	Present
5	KAN Ventures Inc.	Fresno, CA, US	Real Estate Brokerage	President	06/28/2016	Present
6	Birch Commons Solar LLC	Fresno, CA, US	Land Development	Member	01/12/2016	Present
7	Bungalows at Fig Garden	Fresno, CA, US	Real Estate Development	Member	07/26/2017	Present

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(Trade or Business) KAN Ventures Inc. Real Estate, Real Property Brokerage, Consulting	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
2	(Mutual Fund) GFFFX American Funds Growth	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	(Mutual Fund) HWIMX Hotchkins & Wiley FDS	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	(Mutual Fund) ICAFX American Funds	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	(Mutual Fund) WMFFX American Funds	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	(Mutual Fund) PCBIX Principal FDS Inc	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	(Mutual Fund) AEPFX American Funds	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	(Mutual Fund) SMCFX Smallcap World FD Inc	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	(Mutual Fund) VSOIX Victory Sycamore	Yes	\$1,001 - \$15,000		\$201 - \$1,000

10	(Other Defined Contributions) SEP IRA	No		
10.1	(Other) Self Directed Real Property Investment	No	\$100,001 - \$250,000	Rent or Royalties, Capital Gains \$5,001 - \$15,000

3. Filer's Employment Agreements and Arrangements

None

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE	DESCRIPTION
1	Ewell Consulting Group LLC; Fresno, CA, US	Accounts Receivable for work completed prior to employment
2	KAN Ventures Inc.; Fresno, CA, US	Sole Shareholder, Previously Procured Brokerage Compensation

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(S) (Stock) IDXX Idexx Laboratories	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2	(S) (Stock) ORCL Oracle Corp	N/A	\$1,001 - \$15,000	Interest, Capital Gains	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT

1	(J) (Cash Deposit/Savings) US Bank #4 Fresno, CA, US	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2	(J) (Cash Deposit/Savings) US Bank #3 Fresno, CA, US Investment/Retirement	N/A	\$500,001 - \$1,000,000	Dividends, Rent or Royalties, Interest, Capital Gains	\$15,001 - \$50,000
3	(J) (Cash Deposit/Savings) US Bank #2 Fresno, CA, US Checking /Savings	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
4	(Cash Deposit/Savings) US Bank #1 San Carlos, CA, US SEP IRA	N/A	\$1,001 - \$15,000	Rent or Royalties	\$5,001 - \$15,000
5	(IRE) Commercial Fresno, CA, US	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
6	(J) (IRE) Multi family Fresno, CA, US	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
7	(J) (IRE) Unimproved Land Fresno, CA, US	N/A	\$50,001 - \$100,000	Capital Gains	None (or less than \$201)
8	(J) (Trust) Ewell Family Trust	N/A	\$100,001 - \$250,000	Rent or Royalties, Interest	\$5,001 - \$15,000
9	(S) (Mutual Fund) DODGX Dodge & Cox STK FD	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	(S) (Mutual Fund) Hgoix Hartford Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	(S) (Mutual Fund) MHYIX Mainstay FD High Yield	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	(S) (Mutual Fund) BLRYX Brookfield Inv Funds	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	(S) (Mutual Fund) SMCFX Smallcap Worls FD	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	(S) (Mutual Fund) TGBAX Templeton Income TR	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	(Mutual Fund) EMRYX Van Eck Funds	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	(Mutual Fund) TQMIX AMG Timesquare MID	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	(J) (ETF) Industrial Select	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	(J) (ETF) Ishares Russell 2000	Yes	\$15,001 - \$50,000		\$201 - \$1,000

19	(J) (ETF) Ishares Core S&P Midcap	Yes	\$1,001 - \$15,000	\$201 - \$1,000
20	(J) (ETF) Ishares Core s&P 500	Yes	\$15,001 - \$50,000	\$201 - \$1,000
21	(J) (ETF) Ishares Core U.S.	Yes	\$15,001 - \$50,000	\$201 - \$1,000
22	(J) (ETF) Ishares s&P Midcap	Yes	\$1,001 - \$15,000	None (or less than \$201)
23	(J) (ETF) Powershares EM MAR	Yes	\$1,001 - \$15,000	\$201 - \$1,000
24	(J) (ETF) Sector SPDR TR	Yes	\$1,001 - \$15,000	\$201 - \$1,000
25	(J) (ETF) Select Sector SPDR	Yes	\$1,001 - \$15,000	None (or less than \$201)
26	(J) (ETF) SPDR Bloomberg	Yes	\$1,001 - \$15,000	\$201 - \$1,000
27	(J) (ETF) SPDR Dow Jones	Yes	\$15,001 - \$50,000	\$201 - \$1,000
28	(J) (ETF) Vanguard FTSE	Yes	\$15,001 - \$50,000	\$201 - \$1,000
29	(J) (ETF) Vanguard Intl Equity	Yes	\$15,001 - \$50,000	\$201 - \$1,000
30	(DC) (ETF) Franklin MGD TR Rising	Yes	\$1,001 - \$15,000	None (or less than \$201)
31	(J) (IRA) Wells Fargo	No		
31.1	(Mutual Fund) CBEAX-Wells Fargo C&B Large Cap Value Fund Class A	Yes	\$100,001 - \$250,000	\$2,501 - \$5,000
32	(S) Oracle (401k) Vanguard	N/A		
32.1	(Mutual Fund) VASGX-Vanguard Lifestrategy Growth Fund	Yes	\$50,001 - \$100,000	\$2,501 - \$5,000
33	(J) (Trust) Ewell Family Trust	No		
33.1	(Cash)	No	\$100,001 - \$250,000	Interest
				\$15,001 - \$50,000

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	Security First Bank; Fresno, CA, US	Mortgage	\$50,001 - \$100,000	2015	5	5
2	General Motors; Detroit, MI, US	Vehicle Lease	\$15,001 - \$50,000	2017	0	35 mon
3	Jaguar; Fresno, CA, US	Vehicle Lease	\$15,001 - \$50,000	2016	0	21 Mon

9. Gifts and Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
6	1	Mortgage Account
6	2	Retirement/College/Investment Accounts
6	3	Checking/Savings
6	4	SEP IRA
6	5	SANBAD Investments, LLC commercial building
6	6	Birch Commons Solar, LLC apartments and Rock Ranch, LLC
6	7	Bungalows at Fig Garden, LLC Unimproved real property parcel
6	31	401k
6	31.1	Retirement
6	33	Family Trust
6	33.1	Family Trust
8	1	Commercial Bldg
8	2	Vehicle Lease
8	3	Vehicle Lease

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation. This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets and Income

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period. The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets and Income

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans /accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children. This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period. This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period. This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5)

gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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Reviewer Comments and Submission History for Austin Ewell

11/17/2017 10:16:17

Filing submitted

Tia Barner

10/30/2017 11:20:41

Extension granted to 11/27/2017

Tia Barner

10/20/2017 11:26:12

Extension granted to 10/27/2017

Tia Barner

09/29/2017 16:06:01

Extension granted to 10/20/2017